

Documentation and Workflow for all Action Types and Reasons



For this action:		This is the usual documentation you must send to the Personnel Administration Branch to accompany your HCMPF. In some cases additional documentation (not listed) may be requested.			Workflow				
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Type:	Reason:	None	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4		
Establi	ish with PD			CLASS NM LIAISON					
Establi	ish w/out PD			CLASS NM LIAISON					
Update	e PD			CLASS NM LIAISON					
Z1- A	ppointment			<u> </u>			<u>'</u>		
1	Appoint		If appointed by the Governor, see Unclassified/Non-Merit Example Letter. For a Co-op Intern, must attach the approval letter from DCO.	> REGISTER > NM LIAISON > HR CERT	PA				
2	Appoint up to midpoint		If appointed by the Governor, see Unclassified/Non-Merit Example Letter. For a Co-op Intern, must attach the approval letter from DCO.	> REGISTER > NM LIAISON > HR CERT	PA	PA SUPV			
3	Interim		Updated application in COS, if age 16-17 must have letter signed by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet. For a Co-op Intern, must attach the approval letter from DCO.	CLASS	PA	HR CERT			
4	Interim up to midpoint		Updated application in COS, if age 16-17 must have letter signed by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet.	CLASS	PA	HR CERT			
5	Prev Uncl w/ no Prior Class-Min		If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	PA	REGISTER	LEGAL			
6	Prev Uncl w/no Prior Class-Midpt		X If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	PA	PA SUPV	REGISTER	LEGAL		
7	Returning Retiree Appointment		X Form #6751-Signed by Appointing Authority	> REGISTER > NM LIAISON > HR CERT	PA				
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA	PA SUPV				
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA	PA SUPV				
Z2- R	e-Hire								
1	Reinstate w/ 12 month break		X Reinstatement Certificate.	PA	PA SUPV	COMP			
2	Reinstate w/o 12 month break		X Reinstatement Certificate.	PA	PA SUPV	COMP			
3	Reinstate by Board/Court Order		X Agreed Order.	PA	PA SUPV	COMP	LEGAL		
4	Re-employment	Х	X No doc required unless otherwise requested.	PA	REGISTER	COMP			
5	Returning Retiree		X Form #6751-Signed by Appointing Authority.	> REGISTER > NM LIAISON	PA				

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Type:	Reason:	None	*PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4		
					> HR CERT					
6	Returning Retiree up to midpoint		х	Form #6751-Signed by Appointing Authority.	> REGISTER > NM LIAISON > HR CERT	PA	PA SUPV			
7	Interim Rehire		Х	Updated application in COS, if age 16-17 must have letter signed by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet. For a Co-op Intern, must attach the approval letter from DCO.	CLASS	PA	HR CERT			
8	Interim Rehire up to midpoint		Х	Updated application in COS, if age 16-17 must have letter signed by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet.	CLASS	PA	HR CERT			
9	Appointment		Х	If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	> REGISTER > NM LIAISON > HR CERT	PA				
10	Appointment up to midpoint		Х	If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	> REGISTER > NM LIAISON > HR CERT	PA	PA SUPV			
11	Interim Return Retiree		Х	Form #6751-Signed by Appointing Authority and updated application in COS	CLASS	PA	HR CERT			
12	Interim Return Retiree to midpt		Х	Form #6751-Signed by Appointing Authority and updated application in COS	CLASS	PA	HR CERT			
13	Prev Uncl w/ no Prior Class- Min		Х	If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	PA	REGISTER	LEGAL			
14	Prev Uncl w/no Prior Class- Mid		Х	If appointed by the Governor, see Unclassified/Non-Merit Example Letter.	PA	PA SUPV	REGISTER	LEGAL		
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	PA	ОМ				
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	PA	OM	PA SUPV			
Z3- R	eclassification									
1	Higher Grade			Position description required on HCMPF submission. No doc required unless otherwise requested	CLASS	HR CERT				
2	Same Grade			Position description required on HCMPF submission. No doc required unless otherwise requested	CLASS	HR CERT				
3	Lower Grade			Position description required on HCMPF submission. No doc required unless otherwise requested	CLASS	HR CERT				
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	ОМ	PA				
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	ОМ	PA	PA SUPV			
Z4- R	eallocation									
1	Higher Grade			Position description required on HCMPF submission. See Notification of Reallocation form	CLASS					
2	Same Grade			Position description required on HCMPF submission. See Notification of Reallocation form	CLASS					
3	Lower Grade			Position description required on HCMPF submission. See Notification of Reallocation form	CLASS					
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	ОМ	PA				
99	CORRECT	Χ		Specific remarks required on HCMPF submission explaining needed corrections.	ОМ	PA	PA SUPV			
Z5- G	rade Change		1							
1	Higher Salary	Х		No doc required unless otherwise requested						
2	Same Salary	Х		No doc required unless otherwise requested						

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Туре:	Reason:	None *PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4			
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA						
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA	PA SUPV					
Z6- Ra	ange Change									
1	Higher Salary	Х	NONE							
2	Special Entrance Rate	Х	NONE							
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA						
99	CORRECT	х	Specific remarks required on HCMPF submission explaining needed corrections.	PA	PA SUPV					
	osition # Change/ External	1		1	<u> </u>					
1	1 Trans In		Requires Voluntary Transfer/Demotion form from the losing agency. (Certain Classified/Merit employees require a letter pursuant to KRS 12:050- See Non-Merit Example Letters)	PA	HR CERT					
2	TI Promotion	Х	NONE	PA	REGISTER					
3	TI Demotion Retain Salary		Letter to retain salary and Voluntary Transfer/Demotion form	PA	HR CERT					
4	TI Demotion		Voluntary Transfer/Demotion form	PA	HR CERT					
5	Detail	х	Letter of Justification required	PA	HR CERT					
6	Reversion Promotional Prob		See Disciplinary & Personnel Actions Guide for example letter #18 or a request from the employee.	PA	COMP	LEGAL				
7	Reorg- Exec Order	Х	No doc required unless otherwise requested							
8	Reorg- Admin Order	х	No doc required unless otherwise requested				<u> </u>			
9	Reorg- Legislative	х	No doc required unless otherwise requested				<u> </u>			
10	Reorg- Deorganization	Х	No doc required unless otherwise requested							
11	Resign to Reappoint		Separation letter	> REGISTER > NM LIAISON > HR CERT	PA	PA SUPV	LEGAL			
12	Resign to Reinstate		Separation letter and reinstatement certificate	PA	PA SUPV	COMP	LEGAL			
13	Prev Uncl w/no Prior Class	Х	NONE	PA	REGISTER	LEGAL				
14	Promotion in Grade	Х	NONE	CLASS	REGISTER					
15	Resign to Reappoint (Interim)	Х	For resignations, a signed letter from the employee is required. If the employee is being terminated from Interim with one Department and appointed as an Interim with another, then a letter of justification is required for the termination. Additionally, for the interim appointment, an updated application in COS is required. If age 16-17 must have letter signed by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet. For a Co-op Intern, must attach the approval letter from DCO.	CLASS	PA	HR Cert				
16	Reversion from Detail to Spec Duty		See Disciplinary & Personnel Actions Guide for example letters #16 and #17.	PA	COMP	LEGAL				
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	ОМ	PA					
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	>COMP	PA	PA SUPV				

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				initially. However, the Personnel Administration Branch is responsible for forwarding to one of the designated areas for approval depending on the type of employee being hired. (i.e. classified, unclassified, FFTL), or the type of information requiring correction.				
Type:	Reason:	None *PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4	
				>OM				
Z8- P	osition # Change/Internal			T	· · · · · · · · · · · · · · · · · · ·	I		
1	TWI Invol		See Disciplinary & Personnel Actions Guide for example letters	PA	HR CERT	LEGAL		
2	TWI Vol		Voluntary Transfer/Demotion form	PA	HR CERT			
3	Promotion	Х	NONE	PA	REGISTER			
4	Promotion in Grade	Х	NONE	COMP	REGISTER			
5	Demote Vol Retain Salary		Letter to retain salary and Voluntary Transfer/Demotion form	PA	HR CERT			
6	Demote Invol Retain Salary		See Disciplinary & Personnel Actions Guide for example letter	PA	HR CERT	LEGAL		
7	Demotion Vol		Voluntary Transfer/Demotion form	PA	HR CERT			
8	Demotion Invol		See Disciplinary & Personnel Actions Guide for example letter	PA	HR CERT	LEGAL		
9	Detail		Letter of Justification required	PA	HR CERT			
10	Reversion Promotional Prob		See Disciplinary & Personnel Actions Guide for example letter #18 or a request from the employee.	PA	COMP	LEGAL		
11	Reorg- Exec Order	х	No doc required unless otherwise requested					
12		Х	No doc required unless otherwise requested					
13		х	No doc required unless otherwise requested					
14		х	No doc required unless otherwise requested					
15			Separation letter	> REGISTER	PA	PA SUPV	LEGAL	
				> NM LIAISON				
				> HR CERT PA	PA SUPV	COMP	LEGAL	
16			Separation letter and reinstatement certificate	PA	REGISTER	LEGAL	LEGAL	
17	Prev Uncl w/no Prior Class	Х	NONE			_		
18	Resign to Reappoint (Interim)	X	For resignations, a signed letter from the employee is required. If the employee is being terminated from Interim with	CLASS	PA	HR Cert		
			one Department and appointed as an Interim with another, then a letter of justification is required for the termination. Additionally, for the interim appointment, an updated application in COS is required. If age 16-17 must have letter signed					
			by employing agency's Cabinet Secretary and the Secretary of the Personnel Cabinet. For a Co-op Intern, must attach the					
			approval letter from DCO.					
19	Reversion from Detail to Spec Duty		See Disciplinary & Personnel Actions Guide for example letters #16 and #17.	PA	СОМР	LEGAL		
20	Enterprise Structure Change	х	NONE	PA				
21	Reversion from Unclassified		Reversion from the unclassified/non-merit service, requires a notice from the agency to the employee, or a request to do so from the employee.	PA	СОМР	LEGAL		
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	ОМ	PA			
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	>COMP >OM	PA	PA SUPV		
Z9- Cl	hange in Pay							
1	Initial Probationary Increase	х	NONE	PA				

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Type:	Reason:	None	*PAE Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4		
2	Uncl Probationary Increase	Х	NONE	PA					
3	Annual Increment	Х	NONE	PA	COMP				
4	Promotional Increase	Х	No doc required unless otherwise requested	PA					
5	Education Increase		Documentation of educational achievement (Certificate/Diploma/Transcript) or justification letter	PA	REGISTER				
6	Salary Change/Per KAR		Remarks are required on HCMPF	PA	COMP				
7	ACE		Request for ACE/ERA form and justification letter	PA	COMP				
8	ERA		Letter of Justification required	PA	COMP				
9	Due to New Appointee Salary	Х	Remarks required on HCMPF submission listing the new in-range appointee's personnel number. (Appointee name should not be listed)	PA					
10	Salary Adjustment		X Exemption	COMP					
11	Salary Adjustment – Legislation	Х	NONE	COMP					
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA					
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	>COMP	PA	PA SUPV			
	uspension			<u>'</u>	1				
1	Time & Attendance		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
2	Work Performance		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
3	Job Abandonment		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
4	Patient/Client Abuse		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
5	Sleeping on the Job		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
6	Policy Violation		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
7	Insubordination		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
8	Alcohol/Drug Abuse		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
9	Misconduct		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
10	Other		See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL				
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL				
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL				
ZB- L	eave with Pay								
1	Educational		Educational Leave Contract	PA	LEGAL				
2	Special for Investigative		See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL				
3	Administrative		Intent to dismiss letter and separate administrative leave letter	PA	LEGAL				
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL				
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL				
ZC- L	eave w/out Pay								

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Type:	Reason:	None *PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4		
1	Military	Х	NONE	PA					
2	Educational		Educational Leave Contact	PA	LEGAL				
3	Sick		See Disciplinary & Personnel Actions Guide for example letter #19A or #19B.	PA	PA SUPV	LEGAL			
4	Best Interest of the State		Letter of Justification required	PA	LEGAL				
5	Other		Letter of Justification required	PA	LEGAL				
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA					
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA					
ZD- R	eturn from Leave with Pay								
1	Educational	Х	NONE	PA					
2	Special for Investigative		Letter of Justification required	PA	LEGAL				
3	Administrative		Letter of Justification required	PA	LEGAL				
98	VOID		Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL				
99	CORRECT		Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL				
ZE- R	eturn from Leave w/out Pay								
1	Military	Х	NONE	PA					
2	Educational	Х	NONE	PA	PA SUPV	LEGAL			
3	Sick	Х	See Disciplinary & Personnel Actions Guide for example letter #20A or #20B justification	PA	PA SUPV	LEGAL			
4	Best Interest of the State	Х	NONE	PA	PA SUPV	LEGAL			
5	Other	Х	NONE	PA	PA SUPV	LEGAL			
98	VOID	Х	Specific remarks required on HCMPF submission explaining reason for void.	PA					
99	CORRECT	Х	Specific remarks required on HCMPF submission explaining needed corrections.	PA					
ZF- Se	eparation								
1	T-Time Limit	Х	NONE	PA					
2	T-Terminate		Letter of Justification required	PA	PA SUPV	LEGAL			
3	T-Initial Probation		See Disciplinary & Personnel Actions Guide for example letter	PA	PA SUPV	LEGAL			
4	R-Salary		Signed letter from employee	PA					
5	R-Lack of Opportunity		Signed letter from employee	PA					
6	R-Personal Conflict		Signed letter from employee	PA					
7	R-Marriage		Signed letter from employee	PA					
8	R-Job Incompatibility		Signed letter from employee	PA					
9	R-Return to School		Signed letter from employee	PA					
10	R-Health		Signed letter from employee	PA					

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For thi	For this action:								
Type:	Reason:	None	*PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4	
11	R-Family Reasons			Signed letter from employee	PA				
12	R-Job Abandonment			Letter from Appointing Authority	PA	LEGAL			
13	R-Moving			Signed letter from employee	PA				
14	R-Other			Signed letter from employee	PA				
15	R-From Leave			Signed letter from employee, OR use Disciplinary & Personnel Actions Guide example letters #21 and #22 if sick leave without pay is exhausted	PA	LEGAL			
16	R- Accept with Prejudice			Signed letter from employee and accompanying letter from appointing authority accepting the resignation with prejudice	PA	LEGAL			
17	D-Time and Attendance			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
18	D- Work Performance			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
19	D-Job Abandonment			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
20	D-Patient/Client Abuse			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
21	D-Asleep on the Job			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
22	D-Policy Violation			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
23				See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
24	D-Alcohol/Drug Abuse			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
25	D-Misconduct			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
26	D-From Suspension			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
27	D- Other or From Leave			See Disciplinary & Personnel Actions Guide for example letters	PA	LEGAL			
28	L-Lack of Work			Notice of Layoff required	PA	PA SUPV	LEGAL		
29	L-Lack of Funds			Notice of Layoff required	PA	PA SUPV	LEGAL		
30	L-Reorganization			Notice of Layoff required	PA	PA SUPV	LEGAL		
31	L-Other			Notice of Layoff required	PA	PA SUPV	LEGAL		
32	O-Deceased	Х		No doc required unless otherwise requested	PA				
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL			
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL			
ZG-R	etirement	1							
1	Disability			Signed letter from employee	PA				
2	Normal			Signed letter from employee	PA				
3	From Leave			Signed letter from employee	PA	LEGAL			
4	Accepted with Prejudice			Signed letter from employee and accompanying letter from appointing authority accepting the retirement with prejudice	PA	LEGAL			
5				Signed letter from employee	PA				
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL			
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL			

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For th	For this action:								
Туре:	Reason:	None	*PAE	Letter of Justification/Request	Level 1	Level 2	Level 3	Level 4	
ZJ- R	eturn from Suspension				•				
1	Return from Suspension			See Disciplinary & Personnel Actions Guide for Notice of Suspension example letters	PA	LEGAL			
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	PA	LEGAL			
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	PA	LEGAL			
ZK- N	lisc Actions								
1	Adjust Promotion Date	Х		NONE	PA	PA SUPV			
2	Increment Date Change	Х		NONE	PA	PA SUPV			
3	SSN Change			Copy SSN card if a valid change and not typo correction	PA				
5	Adjust Initial Probation Date	Х		NONE	PA	PA SUPV			
98	VOID	Х		Specific remarks required on HCMPF submission explaining reason for void.	PA				
99	CORRECT	Х		Specific remarks required on HCMPF submission explaining needed corrections.	PA	PA SUPV			
ZP- V	ork County Change								
1	Work County Change			Filled positions require a letter from employee or agency. Vacant positions require no documentation.	PA	LEGAL			

*Exemptions:

Where exemptions are listed as required documentation, they are only required for:

- All Non-Merit/Unclassified Positions (regardless of agency),
- All Merit/Classified Positions within any agency under General Government (except as noted on the Request for Personnel Action Exemption Process Information document.), and
- Certain Merit/Classified Technology Positions (regardless of agency). A listing of these positions is also available on the above listed document.

Submitting Applications with HCMPF Actions:

DO NOT SEND any applications with the following HCMPF actions:

Register Appointments
Internal Mobility Promotions
Re-hire (Re-Instatements/Re-employments)

Position # Change (Transfer with Title Change/Demotions)
Reclassifications

<u>Unclassified/Non-Merit Policy Makers:</u> If the employee is currently working and has an application on file that is more than two years old, you will need to submit an updated application through the Career Opportunities System.

Executive Secretaries Classifications: If the employee is currently working and is already in or is going to the Executive Secretary series, there is no need to send an application for these actions.

Common Issues with Action Submissions

Provided below are the most common issues that would prevent or delay approval of a processed action:

Personnel Administration Actions:

- Incorrect action reason
- Incorrect form field information
 - Examples: Effective Date; Position Number; Salary (as related to the requested action reason); Work/Residential Tax; Retirement code, Remarks)
- Noncompliance with 18A and/or 101KAR
- Incorrect or missing supporting documentation
- Incomplete register process (register status, regret letters, etc.)
- The action was not processed in the appropriate order as related to another action effective the same date, or a preceding action.

Organizational Management Actions:

Establishments:

- Incorrect Organizational Unit
- Incorrect form field information
 - Examples: Personnel Area/SubArea; Employee Group/SubGroup; Pay Grade Type/Area; Unclassified/Included in Cap; Supervisor position number
- Position Description Issues (See details below)

Reclassifications:

- The action was not processed in the appropriate order as related to an annual increment effective on the same date, or a preceding personnel action.
- The requested job classification is not an appropriate transition from current job classification.
- No permanent and material change in duties has occurred to warrant a reclassification.
- Position Description Issues (See details below)

Interim Appointments/Rehires:

- Incorrect position attributes
- Incorrect action reason
- Incorrect form field information
 Examples: Effective Date; Position Number; Salary (as related to the requested action reason);
 Work/Residential Tax
- Noncompliance with 18A and/or 101KAR (i.e. 90 day break for interims in the same department)

Position Description Issues:

The issues provided below impact Establishments, Reclassifications, and PD Updates.

- Incorrect 'level' or 'Characteristics of the Job'
- Duties require more specific information in order to review/approve the job classification Example: Internal Policy Analyst job classification series
- Incorrect Supervisor PerNr
- Required "Essential Functions" are not checked